

INITIAL REGISTRATION STATEMENT

EXECUTIVE AGENCY LOBBYIST/EMPLOYER AND REAL PARTY IN INTEREST

INSTRUCTIONS

Please complete all sections and all items of the Initial Registration Statement. **Do not leave blanks**; write "none" or check the box "If none, check here" where applicable.

A. EXECUTIVE AGENCY LOBBYIST INFORMATION

Provide information requested as it relates to the executive agency lobbyist.

B. EMPLOYER INFORMATION

The person or entity on whose behalf the executive agency lobbyist will be attempting to influence executive agency decisions is required to be listed as the employer. The employer is a person who engages an executive agency lobbyist.

Item 4: The Employer should designate one person at the Employer's address to serve as the contact for all executive agency lobbyists engaged by the company. The named person will receive correspondence and notices related to the Employer of the executive agency lobbyist(s). This individual will be responsible for the completion of the *Updated Registration Statement, Employer of Executive Agency Lobbyist* and payment of the \$125 registration fee. The updated registration statement and the registration fee are both **due July 31** of each year.

C. REAL PARTY IN INTEREST

The "real party in interest" is the person or organization on whose behalf the EAL is acting, if that person is not the employer. For example, if the ABC Corporation engages XYZ Consulting Company which, in turn, hires John Smith to influence decisions or conduct executive agency lobbying on behalf of ABC Corporation: (a) John Smith is the executive agency lobbyist; (b) XYZ Consulting Company is the employer; and (c) ABC Corporation is the "real party in interest."

Remember that it makes no difference how many parties come between the EAL and the real party in interest. The requirement is that the statement specifically identifies the real party in interest, if different from the employer.

Item 4: The Real Party in Interest should designate one person at the Real Party in Interest's address to serve as the contact for all executive agency lobbyists engaged by the real party. The named person will receive correspondence and notices related to the Real Party in Interest of the executive agency lobbyist(s). This individual will be responsible for the completion of the *Updated Registration Statement, Real Party in Interest* and payment of the \$125 registration fee. The updated registration statement and the registration fee are both **due July 31** of each year.

D. BRIEF DESCRIPTION OF THE EXECUTIVE AGENCY DECISION TO WHICH ENGAGEMENT RELATES

The description should state the subject matter areas for which the EAL has been engaged or is responsible. (Some examples: award of a lease for office space or equipment; award of a contract to provide food, clothing or other consumable products to a state agency; award of a personal service contract; award of grants for social services.)

E. LISTING OF OFFICES OF EXECUTIVE AGENCIES TO BE LOBBIED

Please check the primary state agency(ies) to which the engagement of the EAL relates. This should include only the probable state agency(ies) for which the executive agency lobbyist is engaged to influence or conduct activity on behalf of the employer.

Note: Executive agency officials may require certification from any person seeking the award of a contract, grant, lease, or financial arrangement that the person and his employer are in compliance with KRS 11A.211. The EAL registration card, supplied by the Executive Branch Ethics Commission, will serve as certification.

Certification and Signature

The Initial Registration Statement must be signed and certified by both the lobbyist and the employer designee. Initial Registration Statements will be accepted with original signatures only. Signatures in ink other than black are requested. You may complete the form electronically from the website, but you must print, sign and mail it to:

Executive Branch Ethics Commission
#3 Fountain Place
Frankfort, KY 40601

The \$125 annual registration fee required for all employers and real parties in interest **IS NOT PAID** with the filing of the Initial Registration Statement. The registration fee is paid when the employer/real party in interest files the Updated Registration Statement **due July 31** of each year.

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